

Exhibit 9-7  
Emergency Shelter Grants (ESG) Program

6509.2 REV-5

<b>Guide for Review of ESG Overall Management Systems</b>			
<b>Name of Program Participant:</b>			
<b>Staff Consulted:</b>			
<b>Name(s) of Reviewer(s)</b>		<b>Date</b>	

**NOTE:** All questions that address requirements contain the citation for the source of the requirement (statute, regulation, NOFA, or grant agreement). If the requirement is not met, HUD must make a finding of noncompliance. All other questions (questions that do not contain the citation for the requirement) do not address requirements, but are included to assist the reviewer in understanding the participant's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but not a "**finding**."

**Instructions:** This Exhibit is designed to evaluate the Emergency Shelter Grants (ESG) program participant's management systems. HUD reviewers should select a sample of files and records, as appropriate, following the sampling instructions in Section 9-3 in the Introduction to this Chapter. A combination of the information in the file documentation and program participant staff interviews is to be used to answer the questions below.

**Questions:**

1.

Does the program participant have a system or procedure for ensuring that ESG funds are used in accordance with all program requirements? [24 CFR 576.21(a)]	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
<b>Describe Basis for Conclusion:</b>          	

2.

Does the program participant have written procedures describing its management of the ESG program? [24 CFR 85.20(a) and 24 CFR 576.57(b)]	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
<b>Describe Basis for Conclusion:</b>          	

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3.

How are responsibilities for implementing and managing the ESG program assigned and delegated? [24 CFR 85.20(a) and 24 CFR 576.57(b)]
<b>Describe Basis for Conclusion:</b>

4.

Is there one person in charge of the day-to-day administration of the program, who also has the authority to effect changes or enforce actions? [24 CFR 85.20(a) and 24 CFR 576.57(b)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Describe Basis for Conclusion:</b>		

5.

Are the duties for administrative personnel defined by job descriptions that reflect eligible administrative costs? [42 USC 11378]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Describe Basis for Conclusion:</b>		

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6.

<p>Does a review of administrative personnel costs reveal any staff being paid with ESG funds but not working on ESG activities? [42 USC 11378]</p>	<div style="display: flex; justify-content: space-around;"><div><input type="checkbox"/> Yes</div><div><input type="checkbox"/> No</div></div>
<p><b>Describe Basis for Conclusion:</b></p> <div style="border: 1px solid black; height: 150px; margin-top: 5px;"></div>	

7.

<p>Has a system been developed to track progress of each ESG-funded activity to completion? [24 CFR 576.21(a)]</p>	<div style="display: flex; justify-content: space-around;"><div><input type="checkbox"/> Yes</div><div><input type="checkbox"/> No</div></div>
<p><b>Describe Basis for Conclusion:</b></p> <div style="border: 1px solid black; height: 150px; margin-top: 5px;"></div>	

8.

<p>Does the file documentation reviewed support disbursements of ESG funds for carrying out eligible activities, e.g., rehabilitation, supportive services, operations, or homeless prevention? [24 CFR 576.21(a)]</p>	<div style="display: flex; justify-content: space-around;"><div><input type="checkbox"/> Yes</div><div><input type="checkbox"/> No</div></div>
<p><b>Describe Basis for Conclusion:</b></p> <div style="border: 1px solid black; height: 150px; margin-top: 5px;"></div>	